

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of )  
Shinichi IMAI ) Attention: Applications Branch  
Serial No. 09/960,575 )  
Filed: September 24, 2001 )  
For: SEMICONDUCTOR DEVICE AND )  
METHOD FOR PRODUCING THE )  
SAME )



**RESPONSE TO NOTICE TO FILE MISSING PARTS**  
**OF APPLICATION - FILING DATE GRANTED**

Honorable Commissioner for Patents  
Washington, D.C. 20231

Sir:

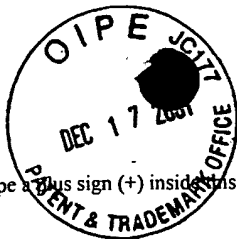
In response to the Notice to File Missing Parts of Application - Filing Date Granted, under 37 CFR 1.53(b) dated October 19, 2000, submitted herewith is an executed Declaration and Power of Attorney, an English translation of the application with declaration, substitutes drawings in compliance with 37 C.F.R. 1.84 and a copy of Notice to File Missing Parts of Application - Filing Date Granted along with the fees under 37 CFR 1.16. (Statutory Basic Filing Fee - \$740, Surcharge - \$130, Translation Fee - \$130 and Additional Claims Fee - \$252).

The above fees are covered by the check attached herewith. Should there be any additional fees required for proper filing of the attached documents, please charge Deposit Account No. 19-2380. Prompt issuance of a filing receipt is respectfully requested.

Respectfully submitted,

Eric J. Robinson  
Reg. No. 38,285

NIXON PEABODY LLP  
8180 Greensboro Drive  
McLean, Virginia 22102  
(703) 790-9110



BP

Sector  
#5

Please type a plus sign (+) inside this box → [ + ]

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|   |                      |                        |           |
|---|----------------------|------------------------|-----------|
| <b>TRANSMITTAL FORM</b><br>(to be used for all correspondence after initial filing) | Application Number   | 09/960,575             |           |
|   | Filing Date          | September 24, 2001     |           |
|   | First Named Inventor | Shinichi IMAI          |           |
|   | Group Art Unit       | 2812                   |           |
|   | Examiner Name        | Unassigned             |           |
| Total Number of Pages in This Submission  |                      | Attorney Docket Number | 0819-0651 |

| ENCLOSURES (check all that apply)   |  |  |
|---|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input checked="" type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input checked="" type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input checked="" type="checkbox"/> Assignment Papers (for an Application)<br><input checked="" type="checkbox"/> Drawing(s) (8 sheets)<br><input type="checkbox"/> Declaration and Power of Attorney<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Other  |
| Remarks   |  | <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees required or credit any overpayments to Deposit Account No. 19-2380 for the above identified docket number. |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |  |
|--|--|
| Firm or Individual name                    | Eric J. Robinson, Reg. No. 38,285<br>Nixon Peabody LLP<br>8180 Greensboro Drive<br>Suite 800<br>McLean, VA 22102 |
| Signature                                  |  |
| Date                                       | 12-4-01  |

| CERTIFICATE OF MAILING   |  |      |
|--|--|------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <span style="border: 1px solid black; display: inline-block; width: 100px; height: 20px; vertical-align: middle;"></span> |  |      |
| Type or printed name   |  |      |
| Signature  |  | Date |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

# FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1,292.00)

Complete if Known

Application Number 09/960,575  
Filing Date September 24, 2001  
First Named Inventor Shinichi IMAI  
Examiner Name Unassigned  
Group Art Unit 2812  
Attorney Docket No. 0819-0651

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 19-2380

Deposit Account Name Nixon Peabody LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description        | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|------------------------|----------|
| 101                   | 740                   | 201                   | 370                   | Utility filing fee     | 740.00   |
| 106                   | 330                   | 206                   | 165                   | Design filing fee      |          |
| 107                   | 510                   | 207                   | 255                   | Plant filing fee       |          |
| 108                   | 740                   | 208                   | 370                   | Reissue filing fee     |          |
| 114                   | 160                   | 214                   | 80                    | Provisional filing fee |          |

SUBTOTAL (1) (\$ 740.00)

### 2. EXTRA CLAIM FEES

Total Claims 15 -20\*\* = 0 X 18 = 0  
Independent Claims 6 -3\*\* = 3 X 84 = 252.00  
Multiple Dependent =

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  |
|-----------------------|-----------------------|-----------------------|-----------------------|--|
| 103                   | 18                    | 203                   | 9                     | Claims in excess of 20                                     |
| 102                   | 84                    | 202                   | 42                    | Independent claims in excess of 3                          |
| 104                   | 280                   | 204                   | 140                   | Multiple dependent claim, if not paid                      |
| 109                   | 84                    | 209                   | 42                    | ** Reissue independent claims over original patent         |
| 110                   | 18                    | 210                   | 9                     | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 252.00)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|----------|-----------------------|-----------------------|-----------------------|--|----------|
| 105      | 130                   | 205                   | 65                    | Surcharge - late filing fee or oath  | 130.00   |
| 127      | 50                    | 227                   | 25                    | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139      | 130                   | 139                   | 130                   | Non-English transaction  | 130.00   |
| 147      | 2,520                 | 147                   | 2,520                 | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112      | 920*                  | 112                   | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 113      | 1,840*                | 113                   | 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 115      | 110                   | 215                   | 55                    | Extension for reply within first month                                     |          |
| 116      | 400                   | 200                   | 200                   | Extension for reply within second month                                    |          |
| 117      | 920                   | 460                   | 460                   | Extension for reply within third month                                     |          |
| 118      | 1,440                 | 720                   | 720                   | Extension for reply within fourth month                                    |          |
| 128      | 1,960                 | 228                   | 980                   | Extension for reply within fifth month                                     |          |
| 119      | 320                   | 219                   | 160                   | Notice of Appeal   |          |
| 120      | 320                   | 220                   | 160                   | Filing a brief in support of an appeal                                     |          |
| 121      | 280                   | 221                   | 140                   | Request for oral hearing   |          |
| 138      | 1,510                 | 138                   | 1,510                 | Petition to institute a public use proceeding                              |          |
| 140      | 110                   | 240                   | 55                    | Petition to revive - unavoidable   |          |
| 141      | 1,280                 | 241                   | 640                   | Petition to revive - unintentional   |          |
| 142      | 1,280                 | 242                   | 640                   | Utility issue fee (or reissue)   |          |
| 143      | 460                   | 243                   | 230                   | Design issue fee   |          |
| 144      | 620                   | 244                   | 310                   | Plant issue fee  |          |
| 122      | 130                   | 122                   | 130                   | Petitions to the Commissioner  |          |
| 123      | 50                    | 123                   | 50                    | Processing fee under 37 CR 1.17(q)   |          |
| 126      | 180                   | 126                   | 180                   | Submission of Information Disclosure Stmt                                  |          |
| 581      | 40                    | 581                   | 40                    | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146      | 740                   | 246                   | 370                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149      | 740                   | 249                   | 370                   | For each additional invention to be examined (37 CFR § 1.29(b))            |          |
| 179      | 740                   | 279                   | 370                   | Request for Continued Examination (RCE)                                    |          |
| 169      | 900                   | 169                   | 900                   | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 300.00)

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, Washington, DC 20231, on \_\_\_\_\_

Name: \_\_\_\_\_

## SUBMITTED BY

Name (Print/Type) Eric J. Robinson  
Signature \_\_\_\_\_

Registration No. 38,285  
(Attorney/Agent)

Complete (if applicable)

Telephone (703) 790-9110  
Date 12-14-01



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/960,575         | 09/24/2001          | Shinichi Imai         | 740819-0651            |

22204  
NIXON PEABODY, LLP  
8180 GREENSBORO DRIVE  
SUITE 800  
MCLEAN, VA 22102



CONFIRMATION NO. 7295

## FORMALITIES LETTER



\*OC000000006939924\*

Date Mailed: 10/19/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The application was filed in a language other than English. Applicant is required to provide an English translation of the specification and a statement that the translation is accurate. (See 37 CFR 1.52(d)).
- Applicant must file an English translation of the application, the \$ 130 fee set forth in 37 CFR 1.17(i), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).
- **The balance due by applicant is \$ 970.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing figures contain text that is not in English (including, for example, a flow chart that was originally not in English that has been marked up to include the English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

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740.00 BP  
252.00 BP  
130.00 BP  
130.00 BP

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*A copy of this notice MUST be returned with the reply.*

M.K.  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

11/11/2011 10:11 AM